



## UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/943,442	08/30/2001	Ben-Levy	3524/30

CONFIRMATION NO. 7676

29858

 BROWN, RAYSMAN, MILLSTEIN, FELDER & STEINER LLP  
 900 THIRD AVENUE  
 NEW YORK, NY 10022

## FORMALITIES LETTER



\*OC000000006843076\*

 Docket Date: 04-01-01  
 Docket No.: 3524-30  
 Attorney(s): PJD/LTN  
 Action: Respond to missing parts  
 Action Date: 12-03-01  
 Final Due Date: 04-03-02

Date Mailed: 10/03/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$1338.
  - \$378 for 21 total claims over 20.
  - \$960 for 12 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2178.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

 03/15/2002 SDENB081 00000035 024270 099x3442  
 740.00 OP  
 130.00 OP  
 1008.00 OP  
 260.00 OP  
 118.00 CH  
 03 FC:101  
 04 FC:105  
 05 FC:106  
 06 FC:103

---

*A copy of this notice **MUST** be returned with the reply.*

Mar

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#3

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

(Total Pages Including Check &amp; Card)

Total Number of Pages in This Submission 99

Application Number

09/943,442

Filing Date

08/30/2001

First Named Inventor

BEN-LEVY, et al.

Group Art Unit

2164

Examiner Name

TBD

Attorney Docket Number

3524/30

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form  
☒ Fee Attached  
☒ Amendment / Reply  
☐ After Final  
☐ Affidavits/declaration(s)  
☒ Extension of Time Request  
☐ Express Abandonment Request  
☒ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☒ Response to Missing Parts/  
Incomplete Application  
☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers  
(for an Application)  
☐ Drawing(s)  
☐ Licensing-related Papers  
☒ Petition  
☐ Petition to Convert to a  
Provisional Application  
☒ Power of Attorney, Revocation  
Change of Correspondence  
Address  
☐ Terminal Disclaimer  
☐ Request for Refund  
☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication  
to Group  
☐ Appeal Communication to Board  
of Appeals and Interferences  
☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Other Enclosure(s) (please  
identify below):

Request for Corrected  
Filing Receipt

Declaration

Remarks

Applicant notes that a deadline for the  
filing of the Response to the Office Action herein was  
set for 03/03/04, which date occurred on a Sunday. The  
Response is timely filed on the first succeeding  
business day, pursuant to 37 CFR 1.7.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Matthew J. Marquardt, Esq. / Attorney Registration No. 40,997

Signature

The PTO did not receive the following  
listed item(s) An Assignment  
Doc.

Date

4 MARCH 2002

## CERTIFICATE OF MAILING

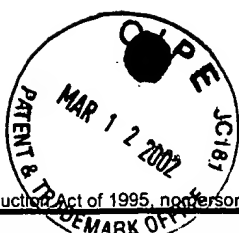
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class  
mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: \_\_\_\_\_

Typed or printed name

Signature

Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments  
on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington,  
DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 3,138.00

## Complete if Known

Application Number	09/943,442
Filing Date	08/30/2001
First Named Inventor	BEN-LEVY, et al.
Examiner Name	TBD
Group Art Unit	2164
Attorney Docket No.	3524/30

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 02-4270
- Deposit Account Name: Brown Raysman Milstein Felder & Steiner LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	710
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ ) 710

### 2. EXTRA CLAIM FEES

Total Claims: 41

Independent Claims: 15

Multiple Dependent: 26

Extra Claims: 21

Fee from below: 18.00

Fee Paid: 378

Extra Claims: 12

Fee from below: 84.00

Fee Paid: 960

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 1338.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	920.00
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 3,138.00

## SUBMITTED BY

Name (Print/Type)	Matthew J. Marquardt	Registration No. (Attorney/Agent)	40,997	Telephone	(212) 895-2000
Signature		Date	4 MARCH 2002		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

03/15/2002 SDENB081 0009313400

Ref: 03/15/2002 SDENB081 00000035

Ref: 03/15/2002 SDENB081 00000035

\$40.00 CR

Void date: 03/15/2002 SDENB081 00000035  
03/15/2002 SDENB081 00000035  
02 FC:581



#3

PATENT  
Atty. Docket No.: 3524/30  
Application of BEN-LEVY, *et al.*  
Appln. No. 09/943,442

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: BEN-LEVY, *et al.*  
Serial No.: 09/943,442  
Examiner: Not Yet Assigned  
Group Art Unit: 2164  
Filing Date: August 30, 2001  
Title: **COMPUTER TRADING OF FINANCIAL INTERESTS**

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING  
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

We have received a Notice To File Missing Parts of Application--Filing Dated Granted mailed on October 3, 2001. Enclosed in Response thereto is:

- a copy of the Notice To File Missing Parts;
- an original executed Declaration and Power of attorney identifying the application by its application number and filing date; and
- a Petition for a Three-Month's Extension of Time from October 3, 2001 to March 3, 2001.

A check is enclosed for the fee of \$3,098.00 (\$710.00 filing fee; \$1,338.00 for additional claims; \$130.00 surcharge; and \$920.00 for a three-months extension of time). The Commissioner is hereby authorized to charge any additional fees that may be required during the pendency of this application, or credit any overpayment, to our Deposit Account No. 02-4270.

Respectfully Submitted,

Dated: 4 MARCH 2002



Matthew J. Marquardt  
Reg. No.: 40,997  
BROWN RAYSMAN MILLSTEIN FELDER  
& STEINER LLP  
900 Third Avenue  
New York, New York 10022  
(212) 895-2000



Receipt #5  
PATENT  
Atty. Docket No.: 3524/30  
Application of BEN-LEVY, *et al.*  
Appl. No. 09/943,442

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: BEN-LEVY, *et al.*  
Serial No.: 09/943,442  
Examiner: Not Yet Assigned  
Group Art Unit: 2164  
Filing Date: August 30, 2001  
Title: **COMPUTER TRADING OF FINANCIAL INTERESTS**

Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

Sir:

Please correct the Filing Receipt for the above-identified application as follows (typed additions are also made on a separate sheet of paper, which is attached to the original filing receipt):

“Applicant(s):

BEN-LEVY, Shai, 15 Cedar, East Hills, New York 11576;

GAERTNER, Kenneth L., 9 Ridgedell Avenue, Hastings-on-Hudson, New York 10706;

GEYER, George A., 141 East 33<sup>rd</sup> St., 4B, New York, New York 10016;

MULLEN, David P., 1442 Shippan Ave., Stamford, Connecticut 06902; and

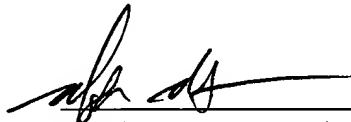
SIBILLA, Todd A, One Orchard Way, Warren, New Jersey 07059.”

Please delete “(\*) Data inconsistent with PTO records.” under the heading  
“Domestic Priority data as claimed by applicant.” This inconsistency is being remedied  
through an accompanying Preliminary Amendment.

A copy of the Filing Receipt with the changes noted thereon is enclosed.  
Issuance of a corrected filing receipt is respectfully requested.

Respectfully Submitted,

Dated: 4 MARCH 2002



Matthew J. Marquardt, Reg. No. 40,997  
BROWN RAYSMAN MILLSTEIN  
FELDER & STEINER LLP  
900 Third Avenue  
New York, New York 10022  
(212) 895-2000



“Applicant(s):

BEN-LEVY, Shai, 15 Cedar, East Hills, New York 11576;

GAERTNER, Kenneth L., 9 Ridgedell Avenue, Hastings-on-Hudson,  
New York 10706;

GEYER, George A., 141 East 33<sup>rd</sup> St., 4B, New York, New York  
10016;

MULLEN, David P., 1442 Shippan Ave., Stamford, Connecticut  
06902; and

SIBILLA, Todd A, One Orchard Way, Warren, New Jersey 07059.”



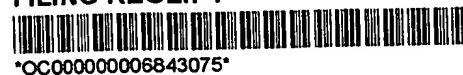
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/943,442	08/30/2001	2164	0.00	3524/30	42	41	15

CONFIRMATION NO. 7676

## FILING RECEIPT



29858  
BROWN, RAYSMAN, MILLSTEIN, FELDER & STEINER LLP  
900 THIRD AVENUE  
NEW YORK, NY 10022

Date Mailed: 10/03/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) ☒ *Shan, East Hills, New York*  
*Ben-Levy, Residence Not Provided, Gaertner, Kenneth L. Hastings on Hudson, New York*

## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/229,173 08/30/2000 \*

~~(\*) Data inconsistent with PTO records~~

## Foreign Applications

If Required, Foreign Filing License Granted 10/03/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Computer trading of financial interests

## Preliminary Class

705

\* Correction page attached

RECORDS UPDATED  
10/2/01 *R*